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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

### Complete if Known

Application Number	10/026,949
Filing Date	December 27, 2001
First Named Inventor	Yusuf K. HAMIED et al.
Group Art Unit	1624
Examiner Name	Unassigned <i>Brenda Coleman</i>

Attorney Docket Number

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TC 1700

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subclass

U.S. PATENT DOCUMENTS					
Examiner Initials *	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
BC	A1	6,251,895		Larsen et al.	06-26-2001
	A2				
	A3				
	A4				
	A5				

FOREIGN PATENT DOCUMENTS						
Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)		
BC	B1	EP	0831097		Lilly and Co.	03-25-1998
BC	B2	EP	0733635		Lilly and Co.	09-25-1996
BC	B3	WO	0018408		Lilly and Co.	04-06-2000
	B4					
	B5					

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS						
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				
	C1	HOUBEN-WEYL, "Methoden der organischen Chemie, Band I/1, Allgemeine Laboratoriumspraxis I" 1958, GEORG THIEME VERLAG, STUTTGART XP002163768, pp. 381-382				
	C2					
	C3					
	C4					
	C5					

Examiner Signature	<i>Brenda Coleman</i>	Date Considered	Nov. 18, 2003
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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<b>FORM PTO-1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b>		Atty Docket: 33396-177202		Application No.: <del>Unknown</del> <b>10/026,949</b>			
		Applicant: Y. HAMIED et al		 <b>J1046 U.S. PTO</b> <b>10/026949</b> <b>12/27/01</b>			
		Filing Date: December 27, 2001					
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initial		U.S. Patent No.	Date	Name	Class	Sub-Class	Filing Date
	AA						
<b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
BC	AB ✓	R. Narendran et al. "Olanzapine Therapy in Treatment-Resistant Psychotic Mood Disorders: A Long-Term Follow-Up Study", <u>J Clin Psychiatry</u> . 62:7, July 2001, pp. 509-516.					
BC	AC ✓	J. Kando et al. "Olanzapine: A new Antipsychotic Agent with Efficacy in the Management of Schizophrenia", <u>The Annals of Pharmacotherapy</u> . November, 1997, Vol. 31, pp. 1325-1334.					
BC	AD ✓	P. Tran et al. "Double-Blind Comparison of Olanzapine Versus Risperidone in the Treatment of Schizophrenia and Other Psychotic Disorders", <u>Journal of Clinical Psychopharmacology</u> . Vol. 17, No. 5, pp. 407-418, 1997					
BC	AE ✓	F. Bymaster et al. "In Vitro and In Vivo Biochemistry of Olanzapine: A Novel, Atypical Antipsychotic Drug", <u>J Clin Psychiatry</u> . 1997; 58 (suppl 10), pp. 28-36.					
BC	AF ✓	C. Beasley et al. "Efficacy of Olanzapine: An Overview of Pivotal Clinical Trials", <u>J Clin Psychiatry</u> . 1997; 58 (suppl 10), pp. 7-12.					
BC	AG ✓	W. Glazer. "Olanzapine and the New Generation of Antipsychotic Agents: Patterns of Use", <u>J Clin Psychiatry</u> . 1997; 58 (suppl 10), pp. 18-21.					
BC	AH ✓	The Medical Letter, "On Drugs and Therapeutics". January 17, 1997, Vol. 38 (Issue 992), pp. 5-6.					
BC	AI ✓	C. Nemeroff. "Dosing the Antipsychotic Medication Olanzapine", <u>J Clin Psychiatry</u> . 1997; 58 (suppl 10), pp. 45-49.					
BC	AJ ✓	C. Guille et al. "A Naturalistic Comparison of Clozapine, Risperidone, and Olanzapine in the Treatment of Bipolar Disorder", <u>J Clin Psychiatry</u> . 61:9, September 2000, pp. 638-642.					
BC	AK ✓	W. Clark et al. "The Effects of Olanzapine in Reducing the Emergence of Psychosis Among Nursing Home Patients with Alzheimer's Disease", <u>J Clin Psychiatry</u> . 62:1, January 2001, pp. 34-39.					
BC	AL ✓	K. Littrell et al. "Switching Clozapine Responders to Olanzapine", <u>J Clin Psychiatry</u> . 61:12, December 2000, pp. 912-915.					
BC	AM ✓	J. Gomez et al. "Superior Efficacy of Olanzapine Over Haloperidol: Analysis of Patients with Schizophrenia From a Multicenter International Trial", <u>J Clin Psychiatry</u> . 2001:62, (suppl 2), pp. 6-10.					
BC	AN	M. Tohen et al. "Olanzapine Versus Placebo in the Treatment of Acute Mania", <u>Am J Psychiatry</u> . 156:5, May 1999, pp. 702-709.					
Examiner <i>Brenda Coleman</i>					Date Considered <b>Nov. 18, 2003</b>		
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.							

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT			Atty Docket 33396-153020		Application No. 10/026,949 09/540,749		
			Filing Date March 31, 2000		Group 1624 Not Yet Assigned		
U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date
BC	BA	4,115,574	9/19/78	Chakrabarti et al.	424	250	
BC	BB	5,457,101	10/10/95	Greenwood et al.	514	220	
BC	BC	5,627,178	5/6/97	Chakrabarti et al.	514	220	
BC	BD	5,631,250	5/20/97	Bunnell et al.	514	220	
BC	BE	5,637,584	6/10/97	Larsen	514	220	
BC	BF	5,703,232	12/30/97	Bunnell et al.	540	557	
BC	BG	5,817,655	10/6/98	Chakrabarti et al.	514	220	
BC	BH	5,817,656	10/6/98	Beasley, Jr. et al.	514	220	
BC	BI	5,817,657	10/6/98	Beasley, Jr. et al.	514	220	

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

BC	BJ	Drugs of the Future, <u>Olanzapine</u> , 1994, Vol. 19(2), pp. 114-117.
BC	BK	Chakrabarti et al., <u>4-Piperazinyl-10H-thieno[2,3-b][1,5]benzodiazepines as Potential Neuroleptics</u> , J. Med. Chem, 1980, Vol. 23, pp. 878-884.

Examiner Brenda Colomar Date Considered Mar. 18, 2003  
March 22, 2003

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

**Notice of References Cited**

 Applicant/Patent  
 HAMIED et al.

 Application/Control No. 10/026,949  
 08/540,749

 Examiner  
 Brenda Coleman

 Art Unit  
 1624  
 Page 2 of 5

**U.S. PATENT DOCUMENTS**

	Document Number Country Code-Number-Kind Code	Date MM-YYYY <sup>1</sup>	Name	Classification <sup>2</sup>
A				
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 U.S. PTO  
 10/026,949  
 12/27/01

**FOREIGN PATENT DOCUMENTS**

	Document Number Country Code-Number-Kind Code	Date MM-YYYY <sup>1</sup>	Country	Name	Classification <sup>2</sup>
N					
O					
P					
Q					
R					
S					
T					

**NON-PATENT DOCUMENTS**

	Include, as applicable: Author, Title, Date, Publisher, Edition or Volume, Pertinent Pages	
bc U	Schmitt et al., Targeting Nicotinic Acetylcholine Receptors: Advances in Molecular Design and Therapies, Annual Reports in Medicinal Chemistry, Vol. 35, pages 41-51, 2000.	
V		
W		
X		

\* A copy of this reference is not being furnished with this Office action. See MPEP § 707.05(a).

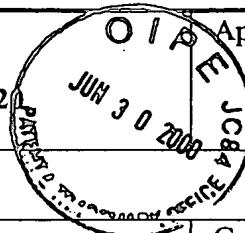
<sup>1</sup>Dates in MM-YYYY format are publication dates.

<sup>2</sup>Classifications may be U.S. or foreign.

## FORM PTO-1449

Atty Docket

33396-153020



Application No.

10/036,949

09/548,749

## INFORMATION DISCLOSURE STATEMENT

Filing Date  
March 31, 2000Group 1624  
Not Yet Assigned

## U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date
BC	AA	5,919,485	7/6/99	Cochran et al.	424	480	
BC	AB	5,736,541	4/7/98	Bunnell et al.	514	220	
BC	AC	5,229,382	7/20/93	Chakrabarti et al.	514	220	
BC	AD	5,605,897	2/25/97	Beasley, Jr. et al.	514	220	J1046 U.S. PTO 10/026949 12/27/01
BC	AE	4,115,568	9/19/78	Chakrabarti et al.	424	250	

## FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Sub-Class	Trans-lation
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

BC	AL	Chakrabarti, et al., 10-Piperazinyl-4H-thieno[3,2-b][1-5]- and -[3,4-b][1,5]benzodiazepines as Potential Neuroleptics, J. Med. Chem. 1980, Vol. 23, 884-889.
BC	AM	Chakrabarti, et al., Effects of Conformationally Restricted 4-Piperazinyl-10H-thienobenzodiazepine Neuroleptics on Central Dopaminergic and Cholinergic Systems, J. Med. Chem., 1982, Vol. 25, pp. 1133-1140.

Examiner Brenda Colomos Date Considered Nov. 18, 2003  
March 22, 2004

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<b>Notice of References Cited</b>		Application No. 09/540,749 10/026,449	Applicant(s) HAMIED et al.
		Examiner Brenda Coleman	Group Art Unit 1624

**U.S. PATENT DOCUMENTS**

	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
A	5,696,115	12/1997	RASMUSSEN	514	220
B					
C					
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1046 U.S. PTO  
10/026949  
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**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUBCLASS
N						
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R						
S						
T						

**NON-PATENT DOCUMENTS**

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
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V		
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X		

*Brenda Coleman*

*Nov. 18, 2003*  
*March 23, 2004*